
DEPARTMENT OF THE ARMY LRL-01331L (June 2002)
U.S. ARMY CORPS OF ENGINEERS -----
Superseding
LRL-01331L (December 2001)

LOUISVILLE DISTRICT FOR CONSTRUCTION

Includes changes through Notice 1 (October 2000)

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SECTION 01331

SUBMITTAL PROCEDURES FOR DESIGN/BUILD 06/02

NOTE: This guide specification covers procedures to be used in making submittals called for in other sections of the specifications.

NOTE: LRL-01331 is a Louisville District guide specification and is to be used for Design/Build projects. For all other projects, LRL-01330, SUBMITTAL REQUIREMENTS, shall be used.

PART 1 GENERAL

1.1 SUBMITTAL IDENTIFICATION

NOTE: Submittal categories (SD numbers and titles) listed in this paragraph are those that are included in the SPECSINTACT software. Submittal registers for projects using any or all of these submittal categories can be generated using the SPECSINTACT software. The Resident Management System (RMS) software can produce a submittal register using the SPECSINTACT submittal categories or additional categories as may be required.

Submittal categories are listed in this paragraph to facilitate the production of the Submittal Verification Results report generated with the SPECSINTACT software. This report is available from the job print menu and the master print menu. One of the functions of this report is to list as a discrepancy any submittal category that differs from those in this paragraph.

The Submittal Reconciliation function of SPECSINTACT

is available from the job print menu. This function will automatically delete any submittal category from this list which is not used in the job. Not all of the categories listed in this paragraph are included in the guide specifications, but this does not interfere with the Submittal Reconciliation function.

Submittals required are identified by SD numbers and titles as follows:

SD-01 Preconstruction Submittals

A document, required of the Contractor, or through the Contractor, from a supplier, installer, manufacturer, or other lower tier Contractor, the purpose of which is to confirm the quality or orderly progression of a portion of the work by documenting procedures, acceptability of methods or personnel, qualifications, or other verifications of quality.

SD-02 Shop Drawings

Submittals which graphically show relationship of various components of the work, schematic diagrams of systems, details of fabrication, layouts of particular elements, connections, and other relational aspects of the work.

SD-03 Product Data

Preprinted manufacturer material describing a product, system, or material, such as catalog cuts.

SD-04 Samples

Samples, including both fabricated and un-fabricated physical examples of materials, products, and units of work as complete units or as portions of units of work.

SD-05 Design Data

Submittals, which provide calculations, descriptions, or documentation regarding the work.

SD-06 Test Reports

Reports of inspections, or tests, including analysis and interpretation of test results.

SD-07 Certificates

Statement signed by an official authorized to certify on behalf of the manufacturer of a product, system or material, attesting that the product, system or material meets specified requirements. The statement must be dated after the award of the contract, must state the Contractor's name and address, must name the project and location, and must list the specific

requirements, which are being certified.

SD-08 Manufacturer's Instructions

Preprinted material describing installation of a product, system or material; including special notices and material safety data sheets, if any, concerning impedances, hazards, and safety precautions.

SD-09 Manufacturer's Field Reports

Daily reports from specialty suppliers to the contractor that provide information, data, tests result for a product.

SD-10 Operation and Maintenance Data

Data, which forms a part of an operation and maintenance manual.

SD-11 Closeout Submittals

All data, documentations, information, and drawings to achieve contract closeout.

SD-12 Schedules

All data, documentations, information, and drawings to achieve contract closeout.

SD-13 Records

Documentation to record compliance with technical or administrative requirements.

1.2 SUBMITTAL CLASSIFICATION

Submittals are classified as follows:

1.2.1 Design Engineer of Record (EOR) Approved

EOR applies to individuals who have professional accountability and design responsibility for certain features of a project involving one or more engineering and design discipline, such as architectural, structural, mechanical, or electrical. EOR approval is required for all required project design submittals as identified in section 01021, extensions of design, critical materials, any deviations from the solicitation, the accepted proposal, or the completed design, equipment whose compatibility with the entire system must be checked, and other items as designated by the Contracting Officer. Included in this category of submittals are structural steel connections, critical fire protection and life safety items, [and commissioning of HVAC equipment whose compatibility with the entire system must be checked]. Within the terms of the Contract Clause entitled "Specifications and Drawings for Construction," such submittals are considered to be "shop drawings". The Contractor shall provide the Government the number of copies, designated in paragraph "Submittal Procedure", of all Designer of Record approved submittals. The Government

may review any or all Designer of Record approved submittals for conformance to the Solicitation and Accepted Proposal.

1.2.2 Government Reviewed Design or Extension of Design

Administrative Contracting Officer review is required for all design. Government review will be for conformance with the technical requirements of the solicitation and shall take place on all design submittals. Section [_____] covers the design submittal and review process in detail.

Government reviewed submittals (not to be confused with Government approved submittals) include structural connections, life safety/fire protection and other extension of design construction submittals, [and HVAC equipment commissioning] where additional detail is being provided to define contract conformity. Review is not required for submittals that offer no additional details beyond that which is already shown on the construction documents. Construction documents were already reviewed and accepted in accordance with Section 01021 DESIGN SUBMISSION REQUIREMENTS AFTER AWARD. Government review shall not remove or replace design EOR design responsibility.

1.2.3 Government Approved

Administrative Contracting Officer approval is required for any deviations from the Solicitation, accepted proposal, or the accepted final design and other items as designated by the Contracting Officer's Representative. Within the terms of the Contract clause entitled "Specifications and Drawings for Construction," these submittals are considered to be "shop drawings."

1.2.2.4 Information Only

All submittals not requiring Designer of Record approval will be for information only. They are not considered to be "shop drawings" within the terms of the Contract Clause referred to above.

1.3 CONTRACTOR RESPONSIBILITY FOR GOVERNMENT REVIEWED OR GOVERNMENT APPROVED SUBMITTALS

The Contracting Officer's Representative conformance review or approval of submittals shall not be construed as a complete check, but will indicate only that the design, general method of construction, materials, detailing and other information appear to meet the Solicitation and Accepted Proposal. Government Review or approval will not relieve the Contractor of the responsibility for any error which may exist, as the Contractor under the Design and Contractor's Quality Control (CQC) requirements of this contract is responsible for design, dimensions, all design extensions, such as the design of adequate connections and details, etc. and the satisfactory construction of all work. After submittals have been reviewed for conformance or approved, as applicable, by the Contracting Officer's Representative, no resubmittal for the purpose of substituting materials or equipment will be considered unless accompanied by an explanation of why a substitution is necessary.

1.4 DISAPPROVED SUBMITTALS

The Contractor shall make all corrections required by the Contracting Officer and promptly furnish a corrected submittal in the form and number of copies specified for the initial submittal. If the Contractor considers any correction indicated on the submittals to constitute a change to the contract, a notice in accordance with the Contract Clause "Changes" shall be given promptly to the Contracting Officer.

1.5 WITHHOLDING OF PAYMENT

Payment for materials incorporated in the work will not be made if required approvals have not been obtained.

PART 2 PRODUCTS (Not used)

PART 3 EXECUTION

3.1 DESIGN SUBMITTALS

The Contractor shall provide design documents submittals in accordance with Section [_____]

3.1.1 SUBMITTAL REGISTER (ENG Form 4288)

The Designer of Record shall develop a complete list of submittals during design. The Designer of Record shall identify required submittals in the specifications, and use the list to prepare the Submittal Register. The list may not be all inclusive and additional submittals may be required by other parts of the contract. The Contractor is required to complete the submittal register and submit it to the Contracting Officer for approval within 30 calendar days after Notice to Proceed. The approved submittal register will serve as a scheduling document for submittals and will be used to control submittal actions throughout the contract period. The submit dates and need dates used in the submittal register shall be coordinated with dates in the Contractor prepared progress schedule. Updates to the submittal register showing the Contractor action codes and actual dates with Government action codes and actual dates shall be submitted monthly or until all submittals have been satisfactorily completed. When the progress schedule is revised, the submittal register shall also be revised and both submitted for approval.

3.1.2 Draft 1354

The DD Form 1354 Data Sheets contain a summary of project information used to transfer the facility to the owner agency. The data sheet is divided into two parts; Facility and Features within the 5 foot line and Features outside the 5 foot line. The Contractor shall meet with Government representatives (Construction Office Representative and installation representative) at the start of design to get direction and example documents, on the format and content of the Draft DD Form 1354. The draft form will be prepared as part of the final design documents and reviewed by the Government. The Contractor will then revise the form to reflect the comments received. At time of construction completion, the Draft DD Form 1354 will be updated by the Contractor to reflect as-constructed

information. The final form is then submitted to the Government.

3.2 CONSTRUCTION SUBMITTALS

3.2.1 GENERAL

The Contractor shall make submittals as required by the specifications. The Contracting Officer's Representative may require submittals in addition to those specified when deemed necessary to adequately describe the work covered in the respective sections. Units of weights and measures used on all submittals shall be the same as those used in the contract drawings. Each submittal shall be complete and in sufficient detail to allow ready determination of compliance with contract requirements. See Section 00800, "AS-BUILT DOCUMENTS FOR DESIGN BUILD PROJECTS", for electronic submittal requirement for some shop drawings and other submittals. Prior to submittal, the Contractor's Quality Control (CQC) representative, and the Designer of Record, as applicable, shall check, approve and stamp, sign, and date each item, indicating action taken. Proposed deviations from the contract requirements shall be clearly identified. Submittals shall include items such as: Contractor's, manufacturer's, or fabricator's drawings; descriptive literature including (but not limited to) catalog cuts, diagrams, operating charts or curves; test reports; test cylinders; samples; O&M manuals (including parts list); certifications; warranties; and other such required submittals. Submittals requiring Government approval shall be scheduled and made prior to the acquisition of the material or equipment covered thereby. Samples remaining upon completion of the work shall be picked up and disposed of in accordance with manufacturer's Material Safety Data Sheets (MSDS) and in compliance with existing laws and regulations.

3.2.2 Scheduling

Submittals covering component items forming a system or items that are interrelated shall be scheduled to be coordinated and submitted concurrently. Certifications to be submitted with the pertinent drawings shall be so scheduled. Adequate time (a minimum of 30 calendar days exclusive of mailing time) shall be allowed and shown on the register for review and approval. No delay damages or time extensions will be allowed for time lost in late submittals.

3.2.3 Transmittal Form (ENG FORM 4025)

The sample transmittal form (ENG Form 4025) attached at the end of Section 00800 shall be used for submitting both Government approved and information only submittals in accordance with the instructions on the reverse side of the form. These blank forms [will be furnished to the Contractor] [are included in the QCS software that the Contractor is required to use for this contract.] This form shall be properly completed by filling out all the heading blank spaces and identifying each item submitted. Special care shall be exercised to ensure proper listing of the specification paragraph and/or sheet number of the contract drawings pertinent to the data submitted for each item.

3.2.4 Submittal Procedure

Submittals shall be made as follows:

The Contractor shall submit to the Contracting Officer three (3) copies of all submittals of items requiring shop inspection and one (1) copy of all other submittals as called for under the various headings of these specifications.

3.2.4.1 Procedures

Detailed submittal procedures will be further discussed with the Contractor at the pre-construction conference.

3.2.4.2 Deviations

For submittals which include proposed deviations requested by the Contractor, the column "variation" of ENG Form 4025 shall be checked. The Contractor shall set forth in writing the reason for any deviations and annotate such deviations on the submittal. As stated above, the Contractor's Designer of Record's approval is required for any proposed deviation. The Government reserves the right to rescind inadvertent approval of submittals containing unnoted deviations.

3.2.5 Control of Submittals

The Contractor shall carefully control his procurement operations to ensure that each individual submittal is made on or before the Contractor scheduled submittal date shown on the approved "Submittal Register" so the material needed date is not threatened.

3.2.6 Government Conformance Review and Approved Submittals

Upon completion of review of submittals requiring Government approval, the submittals will be identified as having received approval by being so stamped and dated. One copy of the submittal will be retained by the Contracting Officer's Representative and two copies of the submittal will be returned to the Contractor. If the Government performs a conformance review of other Designer of Record approved submittals, the submittals will be so identified and returned, as described above.

3.2.7 Information Only Submittals

The Contractor is responsible for preparing and retaining two copies of all FIO submittals in a pair of "Government" files at the Contractor's field office. One copy of the FIO submittals will be used for historical record and transferred to the customer upon completion of the project. The second copy will be used for Quality Assurance reviews, but may be retained at the Government's field office at the discretion of the Quality Assurance Representative. Both files shall be maintained in good order and filed by specification section.

A minimum of 30 days in advance of the Approval Needed By date (Submittal Register, ENG Form 4288, Contractor Schedule Dates, Item "t") the contractor shall submit only the transmittal form (ENG Form 4025-R) to the

Government. The required submittal information shall be complete and available for review at the Contractor's field office. Government personnel will perform discretionary Quality Assurance reviews of the submittals as necessary to satisfy the Government that the Contractor's Quality Control system is providing the specified level of quality. Submittals that contain both Government Approval and Information Only items shall be processed as Government Approved Submittals. Submittals that do not meet the contract requirements will be assigned an "FX" action code by the Contracting Officer, and the submittal deficiencies will be forwarded to the Contractor. The Contractor shall resubmit for Government Approval and in accordance with Paragraph 1.4.

Approval of the Contracting Officer is not required on information only submittals. The Government reserves the right to require the Contractor to resubmit any item found not to comply with the contract. This does not relieve the Contractor from the obligation to furnish material conforming to the plans and specifications; will not prevent the Contracting Officer from requiring removal and replacement of nonconforming material incorporated in the work; and does not relieve the Contractor of the requirement to furnish samples for testing by the Government laboratory or for check testing by the Government in those instances where the technical specifications so prescribe.

3.2.8 STAMPS

Stamps used by the Contractor's Designer of Record and the Contractor's designated Quality Control person on the submittal data to certify that the submittal meets contract requirements shall be similar to the following (use two stamps for submittals reviewed by both):

CONTRACTOR	
(Firm Name)	
_____	Approved
_____	Approved with corrections as noted on submittal data and/or sheet(s).
SIGNATURE: _____	
TITLE: (DESIGNER OF RECORD) _____	
DATE: _____	

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